

Please type a plus sign (+) inside this box → [+]

JUL 31 2002

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Information Disclosure Statement by Applicant (use as many sheets as necessary)				Complete if Known	
				Application Number	10/015,950
				Filing Date	12/17/2001
				First Named Inventor	Mark J. Stefk et al
				Group Art Unit	2161
				Examiner Name	Unassigned
Sheet	1	of	1	Attorney Docket Number	111325/000087

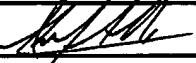
RECEIVED  
AUG 02 2002  
GROUP 3600

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
K.A.		6,253,193		Ginter et al	06/26/2001
		4,713,753		Beobert et al	12/15/1987
		5,052,040		Preston et al	09/24/1991
		5,301,231		Abraham et al	04/05/1994
		5,502,766		Boebert et al	03/26/1996
		5,649,013		Stuckey et al	07/15/1997
		5,737,416		Cooper et al	04/07/1998
		5,737,413		Akiyama et al	04/07/1998
		5,757,907		Cooper et al	05/26/1998
		6,301,660		Benson	10/09/2001
		6,327,652		England et al	12/04/2001
		6,330,670		England et al	12/11/2001

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY
		Office <sup>3</sup>	Number <sup>4</sup>		

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>

Examiner Signature  Date Considered 9-22-02

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

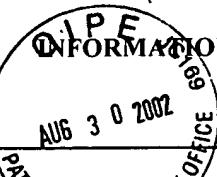
<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950



## INFORMATION DISCLOSURE STATEMENT

Applicants: Stefik et al.

Filing Date: December 17, 2001

Group Art Unit:

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
k.A.	3,263,158	07/01/1966	Janis	—	—	
	3,609,697	09/28/1971	Blevins et al.	—	—	
	3,790,700	02/05/1974	Callais et al.	—	—	
	3,798,605	03/19/1974	Feistel	—	—	
	4,159,468	06/26/1979	Barnes et al.	—	—	
	4,220,991	09/02/1980	Hamano et al.	—	—	
	4,278,837	07/14/1981	Best	—	—	
	4,323,921	04/06/1982	Guillou	—	—	
	4,442,486	04/10/1984	Mayer	—	—	
	4,529,870	07/16/1985	Chaum	—	—	
	4,558,176	12/10/1985	Arnold et al.	—	—	
	4,593,376	06/03/1986	Volk	—	—	
	4,614,861	09/30/1986	Pavlov et al.	—	SER 04 2002	
	4,644,493	02/17/1987	Chandra et al.	—	—	
	4,658,093	04/14/1987	Hellman	—	—	
	4,817,140	03/28/1989	Chandra et al.	—	—	
	4,868,376	09/19/1989	Lessin et al.	—	—	
	4,891,838	01/02/1990	Faber	—	—	
	4,924,378	05/08/1990	Hershey et al.	—	—	
	4,932,054	06/05/1990	Chou et al.	—	—	
	4,937,863	06/26/1990	Robert et al.	—	—	
	4,949,187	08/14/1990	Cohen	—	—	
	4,953,209	08/28/1990	Ryder, Sr. et al.	—	—	
	4,961,142	10/02/1990	Elliott et al.	—	—	
	4,975,647	12/04/1990	Downer et al.	—	—	
	4,999,806	03/12/1991	Chernow et al.	—	—	
	5,010,571	04/23/1991	Katznelson	—	—	
	5,014,234	05/07/1991	Edwards, Jr.	—	—	
✓	5,023,907	06/11/1991	Johnson et al.	—	—	
	5,047,928	09/10/1991	Wiedemer	—	—	
✓	5,052,040	09/24/1991	Preston et al.	—	—	

Examiner

Date Considered

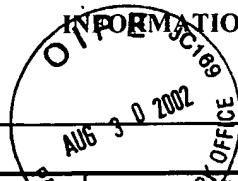
10-8-02

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950



Applicants: Stefik et al.

Filing Date: December 17, 2001

Group Art Unit:

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
k.a.	5,058,164	10/15/1991	Elmer et al.	—	—	
	5,103,476	04/07/1992	Waite et al.	—	—	
	5,113,519	05/12/1992	Johnson et al.	—	—	
	5,136,643	08/04/1992	Fischer	—	—	
	5,138,712	08/11/1992	Corbin	—	—	
	5,146,499	09/08/1992	Geffrotin	—	—	
	5,148,481	09/15/1992	Abraham et al.	—	—	
	5,159,182	10/27/1992	Eisele	—	—	
	5,183,404	02/02/1993	Aldous et al.	—	—	
	5,191,193	03/02/1993	Le Roux	—	—	
	5,204,897	04/20/1993	Wyman	—	—	
	5,222,134	06/22/1993	Waite et al.	—	—	SEP 04 2002
	5,235,642	08/10/1993	Wobber et al.	—	—	
	5,247,575	09/21/1993	Sprague et al.	—	—	GROUP 3600
	5,255,106	10/19/1993	Castro	—	—	
✓	5,260,999	11/09/1993	Wyman	—	—	
	5,263,157	11/16/1993	Janis	—	—	
	5,263,158	11/16/1993	Janis	—	—	
	5,276,444	01/04/1994	McNair	—	—	
	5,276,735	01/04/1994	Boebert et al.	—	—	
	5,291,596	03/01/1994	Mita	—	—	
	5,311,591	05/10/1994	Fischer	—	—	
✓	5,319,705	06/07/1994	Halter et al.	—	—	
	5,337,357	08/09/1994	Chou et al.	—	—	
	5,339,091	08/16/1994	Yamazaki et al.	—	—	
	5,341,429	08/23/1994	Stringer et al.	—	—	
	5,347,579	09/13/1994	Blandford	—	—	
✓	5,381,526	01/10/1995	Ellson	—	—	
	5,394,469	02/28/1995	Nagel et al.	—	—	
	5,412,717	05/02/1995	Fischer	—	—	
✓	5,428,606	06/27/1995	Moskowitz	—	—	

Examiner

Date Considered 10-8-02

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950

Applicants: Stefik et al.

Filing Date: December 17, 2001

Group Art Unit:

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
	5,432,849	07/11/1995	Johnson et al.	1	—	
	5,438,508	08/01/1995	Wyman	1	—	
	5,444,779	08/22/1995	Daniele	1	—	
	5,453,601	09/26/1995	Rosen	1	—	
	5,455,953	10/03/1995	Russell	1	—	
	5,457,746	10/10/1995	Dolphin	1	—	
	5,473,687	12/05/1995	Lipscomb et al.	1	—	
	5,473,692	12/05/1995	Davis	1	—	
	5,499,298	03/12/1996	Narasimhalu et al.	1	—	
	5,504,814	04/02/1996	Miyahara	1	—	
	5,504,818	04/02/1996	Okano	1	—	
	5,504,837	04/02/1996	Griffeth et al.	1	—	
	5,509,070	04/16/1996	Schull	1	—	
	5,530,235	06/25/1996	Stefik et al.	1	—	RECEIVED
	5,532,920	07/02/1996	Hartrick et al.	1	—	SEP 04 2002
	5,534,975	07/09/1996	Stefik et al.	1	—	
	5,539,735	07/23/1996	Moskowitz	1	—	
	5,563,946	10/08/1996	Cooper et al.	1	—	
	5,568,552	10/22/1996	Davis	1	—	
	5,621,797	04/15/1997	Rosen	1	—	
	5,629,980	05/13/1997	Stefik et al.	1	—	
	5,633,932	05/27/1997	Davis et al.	1	—	
	5,634,012	05/27/1997	Stefik et al.	1	—	
	5,638,443	06/10/1997	Stefik et al.	1	—	
	5,655,077	08/05/1997	Jones et al.	1	—	
	5,708,717	01/13/1998	Alasia	1	—	
	5,734,823	03/31/1998	Saigh et al.	1	—	
	5,734,891	03/31/1998	Saigh	1	—	
	5,745,569	04/28/1998	Moskowitz et al.	1	—	
	5,748,783	05/05/1998	Rhoads	1	—	
	5,761,686	06/02/1998	Bloomberg	1	—	

Examiner

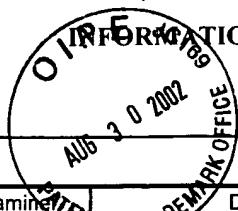
Date Considered

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950



Applicants: Stefik et al.

Filing Date: December 17, 2001

Group Art Unit:

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
LA	5,765,152	06/09/1998	Erickson			
	5,768,426	06/16/1998	Rhoads			
	5,825,892	10/20/1998	Braudaway et al.			
	6,047,067	04/04/2000	Rosen			
	6,115,471	09/05/2000	Oki et al.			
	6,233,684	05/15/2001	Stefik et al.			
	6,266,618	05/01/2001	Downs et al.			
	6,345,256	02/05/2002	Milsted et al.			
✓	6,389,402	05/14/2002	Ginter et al.			

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
LA	0 084 441	07/27/1983	EP			Full Eng
	0 180 460	05/07/1986	EP			Full Eng
	0 332 707	09/01/1989	EP			Full Eng
	0 651 554	05/03/1995	EP			Full Eng
	0 668 695	08/23/1995	EP			Full Eng
	0 725 376	08/07/1996	EP			Full Eng
	2 136 175	09/12/1984	GB			Full Eng
	2 236 604	04/10/1991	GB			Full Eng
	WO 01/63528	08/30/2001	PCT			Full Eng
	WO 92/20022	11/12/1992	PCT			Full Eng
	WO 93/01550	01/21/1993	PCT			Full Eng
✓	WO 99/49615	09/30/1999	PCT			Full Eng

RECEIVED

SEP 04 2002

GROUP 3600

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
LA	"National Semiconductor and EPR Partner for Information Metering/Data Security Cards" March 4, 1994, Press Release from Electronic Publishing Resources, Inc.
	Weber, R., "Digital Rights Management Technology" October 1995
✓	Flasche, U. et al., "Decentralized Processing of Documents", pp. 119-131, 1986, Comput. & Graphics, Vol. 10, No. 2

Examiner

Date Considered 8-02

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950

## INFORMATION DISCLOSURE STATEMENT

OIE JC  
INFORMATION DISCLOSURE STATEMENT  
AUG 30 2002  
PATENT & TRADEMARK OFFICE

Applicants: Stefik et al.

Filing Date: December 17, 2001

Group Art Unit:

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
<i>kd</i>	Mori, R. et al., "Superdistribution: The Concept and the Architecture", pp. 1133-1146, 1990, The Transactions of the IEICE, Vol. E 73, No. 7, Tokyo, JP
	Weber, R., "Metering Technologies for Digital Intellectual Property", pp. 1-29, Oct. 1994, A Report to the International Federation of Reproduction Rights Organizations
	Clark, P.C. et al., "Bits: A Smartcard protected Operating System", pp. 66-70 and 94, November 1994, Communications of the ACM, Vol. 37, No. 11
	Ross, P.E., "Data Guard", pp. 101, June 6, 1994, Forbes
	Saigh, W.K., "Knowledge is Sacred", 1992, Video Pocket/Page Reader Systems, Ltd.
	Kahn, R.E., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 1-19, August 1992, Corporation for National Research Initiatives, Virginia
	Hilts, P. et al., "Books While U Wait", pp. 48-50, January 3, 1994, Publishers Weekly
	Strattner, A, "Cash Register on a Chip may Revolutionize Software Pricing and Distribution; Wave Systems Corp.", pp. 62, April 1994, Computer Shopper, Vol. 14, No. 4, ISSN 0886-0556
	O'Conner, M., "New Distribution Option for Electronic Publishers; iOpener Data Encryption and Metering System for CD-ROM use; Column", pp. 134, March 1994, CD-ROM Professional, Vol. 7, No. 2, ISSN: 1409-0833
	Willett, S., "Metered PCs: Is Your System Watching You? Wave System beta tests new technology", pp. 84, May 2, 1994, InfoWorld
	Linn, R., "Copyright and Information Services in the Context of the National Research and Education Network", pp. 9-20, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Perrit, Jr., H., "Permission Headers and Contract Law", pp. 27-48, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Upthegrove, L., "Intellectual Property Header Descriptors: A Dynamic Approach", pp. 63-66, January 1994, IMA Intellectual Property Proceedings, Vol. 1, Issue 1
	Sirbu, M., "Internet Billing Service Design and prototype Implementation", pp. 67-80, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Simmel, S. et al., "Metering and Licensing of Resources: Kala's General Purpose Approach", pp. 81-110, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Kahn, R., "Deposit, Registration and Recordation in an Electronic Copyright Management System", pp. 111-120, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Tygar, J. et al., "Dyad: A System for Using Physically Secure Coprocessors", pp. 121-152, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Griswold, G., "A Method for Protecting Copyright on Networks", pp. 169-178, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Nelson, T., "A Publishing and Royalty Model for Networked Documents", pp. 257-259, January 1994, IMA Intellectual Property Project Proceedings, Vol. 1, Issue 1
	Robinson, E., "Redefining Mobile Computing", pp. 238-240, 247-248 and 252, July 1993, PC Computing
	Abadi, M. et al., "Authentication and Delegation with Smart-cards", 1990, Research Report DEC Systems Research Center
<i>kd</i>	Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 219-253, 1996, Internet Dreams: Archetypes, Myths, and Metaphors, IDSN 0-262-19373-6

Examiner

Date Considered

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449  
(Rev. 8-83)U.S. Department of Commerce  
Patent and Trademark Office

Atty Docket 111325-87

Serial No. 10/015,950

## INFORMATION DISCLOSURE STATEMENT

Applicants: Stefik et al.

Filing Date: December 17, 2001

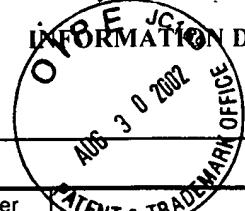
Group Art Unit:

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial

*KA*

Mark Stefik, "Letting Loose the Light: Igniting Commerce in Electronic Publication", pp. 2-35, February 8, 1995, Internet Dreams: Archetypes, Myths and Metaphors,



RECEIVED  
SEP 04 2002  
GROUP 3600

Examiner

Date Considered

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1449 (Rev. 1-23) JC38	U.S. Department of Commerce Patent and Trademark Office	Atty Docket 111325-87	Serial No. 10/015,950
INFORMATION DISCLOSURE STATEMENT		Applicants: Stefik et al.	
		Filing Date: December 17, 2001	Group Art Unit:

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date (if appropriate)
	4,796,220	01/03/1989	Wolfe	—	—	

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
AA	0 715 241	06/05/1996	JP	—	—	Full Eng
	04-369068	12/21/1992	JP	—	—	Eng Abst
	05-268415	10/15/1993	JP	—	—	Eng Abst
	06-175794	06/24/1994	JP	—	—	Eng Abst
	06-215010	08/05/1994	JP	—	—	Eng Abst
	07-084852	03/31/1995	JP	—	—	Eng Abst
	07-200317	08/04/1995	JP	—	—	Eng Abst
	07-244639	09/19/1995	JP	—	—	Eng Abst
	62-241061	10/21/1987	JP	—	—	Eng Abst
	64-068835	03/14/1989	JP	—	—	Eng Abst
	WO 94/01821	01/20/1994	PCT	—	—	Full Eng
	WO 96/24092	08/08/1996	PCT	—	—	Full Eng
	WO 97/48203	12/18/1997	PCT	—	—	Full Eng
	WO 98/11690	03/19/1998	PCT	—	—	Full Eng
✓	WO 98/42098	09/24/1998	PCT	—	—	Full Eng

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	
EA	Henry H. Perritt, Jr., "Technological Strategies for Protecting Intellectual Property in the Networked Multimedia Environment", April 2-3, 1993, Knowbots, Permissions Headers & Contract Law

RECEIVED

OCT 01 2002

GROUP 3600

Examiner	Date Considered
----------	-----------------

10 - 8 - 02

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.